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PTO/SB/21 (8-00)  
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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

O I P E  
MAR 12 2002

Application Number 10/026,747

Filing Date December 20, 2001

First Named Inventor Janat Horn et al.

Group Art Unit 2161

Examiner Name Not yet assigned

Attorney Docket Number 4797-93

**ENCLOSURES (check all that apply)**

- ☐ Fee Transmittal Form  
☐ Fee Attached
- ☐ Petitions to the Commissioner
- ☒ Request For Corrected Filing  
Receipt With A Copy Of the  
Official Receipt
- ☐ Amendment/Reply  
☐ After Final  
☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Information Disclosure Statement  
☐ Form PTO-1449 \_\_\_ References
- ☐ Certified Copy of Priority  
Document(s)
- ☐ Response to Missing Parts/  
Incomplete Application  
☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53
- ☐ Petition to Make Special  
☐ Statement pertaining to pre-  
examination search; and  
☐ Detailed discussion of the  
references submitted with the  
Information Disclosure  
Statement

- ☐ Assignment Papers  
(for an Application)
- ☐ Drawing(s) - \_\_\_ Sheets
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition Routing Slip (PTO/SB/69) and  
Accompanying Petition
- ☐ Petition to Convert to a Provisional  
Application
- ☐ Power of Attorney, Revocation  
Change of Correspondence  
Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_
- ☐ Express Abandonment Request

- ☐ After Allowance Communication to  
Group
- ☐ Appeal Communication to Board of  
Appeals and Interferences
- ☐ Appeal Communication Group  
(Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Withdrawal of attorney as  
Attorney or Agent
- ☒ Other Enclosure(s)  
(please identify below):

Copy of originally filed postcard,  
certification of mailing, and  
Patent application transmittal  
form showing filing date of  
December 20, 2001  
Return Receipt Postcard

Remarks

**RECEIVED**

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**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie S Restaino</i>
Date	March 4, 2002

**CERTIFICATE OF MAILING**

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March 4, 2002

Type or printed name Marcy H. Mancuso

Signature

*Marcy H. Mancuso*

Date

March 4, 2002

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Janat Horn et al.

Docket No.: 4797-93

Serial No. 10/026,747

Group No.: 2161

Filed: December 20, 2001

Examiner: Not yet assigned

For: System and Method for Facilitating Securities Borrowing Transactions

Assistant Commissioner for Patents  
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

- Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
- There is an error with respect to the following data, which is:

☒ incorrectly entered

and/or

☐ omitted.

Error in

- ☐ Applicant's name
- ☐ Applicant's address
- ☐ Title
- ☒ Filing Date
- ☐ Serial Number
- ☐ Other:

Correct Data

- 
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- 
- December 20, 2001
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Reg. No.: 38,893

Tel. No.: (973) 285-3242

Customer No.:

*Leslie Gladstone Restaino*

SIGNATURE OF PRACTITIONER

Leslie Gladstone Restaino

(type or print name of practitioner)

Brown Raysman Millstein Felder & Steiner LLP

55 Madison Avenue

Morristown, New Jersey 07960

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

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☐ transmitted by facsimile to the Patent and Trademark Office.

Date: March 4, 2002

*Marcy Mancuso*

Signature

Marcy Mancuso

(type or print name of person certifying)



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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/026,747	12/22/2001	2161	1142	4797-93	5	33	5

CONFIRMATION NO. 2100

FILING RECEIPT



\*OC00000007330597\*

Leslie Gladstone Restaino, Esq.  
Brown Raysman Millstein Felder & Steiner LLP  
4th Floor  
55 Madison Avenue  
Morristown, NJ 07960

Date Mailed: 01/18/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Janat Horn, Brooklyn, NY;  
Edward Vakhovsky, Brooklyn, NY;  
Irina Idislavovna Nesterovich, Fair Lawn, NJ;  
Amiran Margalitachvili, Bronx, NY;

**Domestic Priority data as claimed by applicant**

**Foreign Applications**

**If Required, Foreign Filing License Granted 01/18/2002**

**Projected Publication Date: 06/26/2003**

**Non-Publication Request: No**

**Early Publication Request: No**

**Title**

System and method for facilitating securites borrowing transactions

**Preliminary Class**

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Technology Center 2100

4797-93

LGR

December 20, 2001

-----X  
In re Application of: Janat Horn et al.

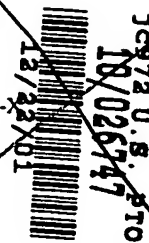
Serial No.: Not Yet Assigned

Filed: Concurrently Herewith

Title: **SYSTEM AND METHOD FOR FACILITATING SECURITIES  
BORROWING TRANSACTIONS**

-----  
By Express Mail No. EK051318535US

1. Certification of Express Mailing (1 page)
2. Utility Patent Application Transmittal Letter (1 page)
3. Fee Transmittal Sheet (Original and duplicate for fee processing)
4. Specification (24 pages)
5. Drawings (5 sheets)
6. Declaration For Patent Application (4 pages)
7. Recordation Form Cover Sheet and 4 Assignments (5 pages)
8. Return receipt postcard



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Attorney Docket No.:  
For:

Janat Horn et al.  
4797-93  
System and Method for Facilitating  
Securities Borrowing Transactions



55 Madison Avenue  
Morristown, N.J. 07960  
December 20, 2001

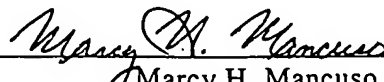
Box Patent Application  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

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CERTIFICATION

I hereby certify that this paper, bearing Express Mailing Label No. EK051318535US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.

  
\_\_\_\_\_  
Marcy H. Mancuso  
(Mailer)

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	4797-93
	First Inventor	Janat Horn
	Title	System and Method for Facilitating Securities Borrowing Transactions
	Express Mail Label No.	EK051318535US

<b>APPLICATION ELEMENTS</b>  See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
---	---

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 24]  
(preferred arrangement as set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 4]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

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<b>ACCOMPANYING APPLICATION PARTS</b>	
9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & documents(s))	
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee)	<input checked="" type="checkbox"/> Power of Attorney
11. <input type="checkbox"/> English Translation Document (if applicable)	
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations
13. <input type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)	
15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
17. <input checked="" type="checkbox"/> Other: <u>Certification of Mailing</u>	

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_  
Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input type="checkbox"/> Customer Number or Bar Code Label		<input checked="" type="checkbox"/> Correspondence address below	
<div>(Insert Customer No. or Attach bar code label here)</div>			
Name	Leslie Gladstone Restaino, Esq.		
	Brown Raysman Millstein Felder & Steiner LLP		
Address	55 Madison Avenue, 4 <sup>th</sup> Floor		
City	Morristown	State	NJ
Country	USA	Zip Code	07960
	Telephone	973-285-3242	Fax 973-285-3262
Name (Print/Type)	Leslie Gladstone Restaino, Esq.	Registration No. (Attorney/Agent)	38,893
Signature	<i>Leslie Gladstone Restaino</i>	Date	December 20, 2001

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 1182.00

## Complete If Known

Application Number	not yet assigned
Filing Date	concurrently herewith
First Named Inventor	Janat Horn
Examiner Name	
Group Art Unit	to be assigned
Attorney Docket No.	4797-93

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## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 02-4270  
Deposit Account Name: Brown Raysman Millstein Felder & Steiner LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:  
☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370			Utility filing fee	740.00
106	330	206	165			Design filing fee	
107	510	207	255			Plant filing fee	
108	740	208	370			Reissue filing fee	
114	160	214	80			Provisional filing fee	

SUBTOTAL (1) (\$) 740.00

### 2. EXTRA CLAIM FEES

Total Claims: 33  
Independent Claims: 5  
Multiple Dependent: ☐  
Extra Claims: 13  
Fee from below: 18.00  
Fee Paid: 234.00  
Extra Claims: 2  
Fee from below: 84.00  
Fee Paid: 168.00

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9			Claims in excess of 20
102	84	202	42			Independent claims in excess of 3
104	280	204	140			Multiple dependent claim, if not paid
109	84	209	42			** Reissue independent claims over original patent
110	18	210	9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 402.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65			Surcharge - late filing fee or oath	
127	50	227	25			Surcharge - late provisional filing fee or cover sheet	
139	130	139	130			Non-English specification	
147	2,520	147	2,520			For filing a request for ex parte reexamination	
112	920*	112	920*			Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action	
115	110	215	55			Extension for reply within first month	
116	400	216	200			Extension for reply within second month	
117	920	217	460			Extension for reply within third month	
118	1,440	218	720			Extension for reply within fourth month	
128	1,960	228	980			Extension for reply within fifth month	
119	320	219	160			Notice of Appeal	
120	320	220	160			Filing a brief in support of an appeal	
121	280	221	140			Request for oral hearing	
138	1,510	138	1,510			Petition to institute a public use proceeding	
140	110	240	55			Petition to revive - unavoidable	
141	1,280	241	640			Petition to revive - unintentional	
142	1,280	242	640			Utility issue fee (or reissue)	
143	460	243	230			Design issue fee	
144	620	244	310			Plant issue fee	
122	130	122	130			Petitions to the Commissioner	
123	50	123	50			Processing fee under 37 CFR 1.17(q)	
126	180	126	180			Submission of Information Disclosure Stmt	
581	40	581	40			Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370			For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370			Request for Continued Examination (RCE)	
169	900	169	900			Request for expedited examination of a design application	
Other fee (specify)							
*Reduced by Basic Filing Fee Paid							
SUBTOTAL (3) (\$)							40.00

Technology Center 2100

## SUBMITTED BY

Name (Print/Type): Leslie Gladstone Restaino

Registration No. (Attorney/Agent): 38,893

## Complete (if applicable)

Telephone: (973) 285-3242

Signature: *Leslie Gladstone Restaino*

Date: December 20, 2001

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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/026,747	12/22/2001	Janat Horn	4797-93

CONFIRMATION NO. 2100



\*OC000000007839424\*

Leslie Gladstone Restaino, Esq.  
Brown Raysman Millstein Felder & Steiner LLP  
4th Floor  
55 Madison Avenue  
Morristown, NJ 07960

Date Mailed: 04/10/2002

## RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

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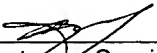
- ☒ If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a petition to accord a filing date should be submitted along with a copy of the Express Mail label showing the "date in" and be directed to the Office of Petitions.
- ☐ A copy of the Express Mail label was not enclosed with your request. Petitions under 37 CFR 1.10 require a copy of the Express Mail Label to be submitted.
- ☐ The "date in" on the Express Mail label is the date given on the Filing Receipt.
- ☐ The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).
- ☐ Applications submitted with a certificate of mailing under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office. A request to review the filing date accorded to the application must be in the form of a petition.
- ☐ The filing date on your return postcard is the same as the date on your Filing Receipt. A request to review the filing date accorded to the application must be in the form of a petition.



A petition under 37 CFR 1.10, 37 CFR 1.53 or 37 CFR 1.182 is needed to request a change to the filing date. A \$130 petition fee is required for a petition under 1.53 or 1.182. If you choose to file a petition, the petition and the \$130 petition fee, if any, to:

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